



# UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/559,320	04/27/2000	Daniel J. McCabe	10449-003	1932

20582 7590 04/08/2003

PENNIE & EDMONDS LLP  
1667 K STREET NW  
SUITE 1000  
WASHINGTON, DC 20006

EXAMINER

FELTEN, DANIEL S

ART UNIT PAPER NUMBER

3624

DATE MAILED: 04/08/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Interview Summary

Application No.  
09/559,320

Applicant(s)  
McCable et al

Examiner  
Daniel Felten

Art Unit  
3624



All participants (applicant, applicant's representative, PTO personnel):

(1) Daniel Felten

(3) \_\_\_\_\_

(2) Ananda Alapati (Reg. No. 39,893)

(4) \_\_\_\_\_

Date of Interview Apr 7, 2003

Type: a) ☒ Telephonic b) ☐ Video Conference  
c) ☐ Personal [copy is given to 1) ☐ applicant 2) ☐ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☒ No. If yes, brief description:

Claim(s) discussed: Claims 1-24

Identification of prior art discussed:

O'Shaughnessy (US 5,978,778) and "About Select Sector SPDRs"

Agreement with respect to the claims f) ☐ was reached. g) ☒ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments:

Further discussion was presented by applicant on how the new limitations further define the Nasdaq component of the invention over the prior art. Since claims are not limited to Nasdaq per se, (see at least claim 1), a further search is required to cover the limitations presented in the newly amended claims filed February 26, 2003.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

i) ☐ It is not necessary for applicant to provide a separate record of the substance of the interview (if box is checked).

Unless the paragraph above has been checked, THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached

HANI M. KAZIMI  
PRIMARY EXAMINER

Daniel A. Felten  
DANIEL S. FELTEN  
A.U. 3624  
BUSINESS METHODS

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

Examiner's signature, if required